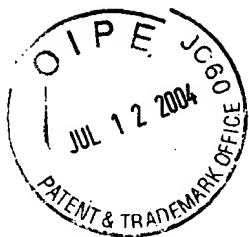


# **APPENDIX A**



DOCKET No.

CF/021CON

CONFIRMATION No.

2363

APPLICANT Philip M. Ginsberg

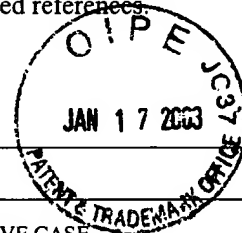
APPLICATION No. 09/225,537

FILED

January 4, 1999

RECEIPT IS HEREBY ACKNOWLEDGED OF THE

Second Supplemental Information Disclosure Statement (in duplicate); Form PTO-1449  
(in duplicate); Check for \$180.00 (SIDS Fee); Copies of cited references.



DATED January 15, 2003

FILED IN CONNECTION WITH THE ABOVE CASE.

COMMISSIONER FOR PATENTS

Express Mail No. EV242439031US



PATENTS  
CF-21CON

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Philip M. Ginsberg  
Application No.: 09/225,537 Confirmation No. 2363  
Filed : January 4, 1999  
(CPA filed July 31, 2000)  
For : FIXED INCOME PORTFOLIO INDEX  
PROCESSOR  
Group Art Unit : 2164  
Examiner : Geoffrey Akers

New York, New York 10020  
January 15, 2003

Hon. Commissioner for Patents  
Washington, D.C. 20231

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97,  
applicant hereby makes the documents listed below of  
record in the above-identified application.

Other Documents

Group A

"Dow Jones Stoxx Index Guide," STOXX, pp. 1-43, Version  
7.1 (March 2002).

"Guide to the Volatility Indices of Deutsche Börse,"  
Deutsche Börse, pp. 1-18, Version 1.4 (May 2002).

"Guide to Dow Jones Global Titans 50 Index,"  
pp.1-11, (June 2002).

"Guide to the Dow Jones Asian Titans 50 Index,"  
pp.1-10, (June 2002).

"Guide to Dow Jones Sector Titans 30 Index,"  
pp.1-8, (June 2002).

"Guide to the Bond Indices of Deutsche Börse," Deutsche Börse, pp. 1-25, Version 3.4, (July 2002).

"Guidelines to Deutsche Börse's Equity Indices," Deutsche Börse - iBoxx Indices, pp. 1-39, Version 4.6, (September 2002).

"Guidelines to the BayX30\* Bavarian Equity Index," Deutsche Börse, pp. 1-25, Version 2.0, (September 2002).

"Guide to the iBoxx € Benchmark Indices," Deutsche Börse - iBoxx Indices, pp. 1-35, Version 2.01, (October 2002).

"Guide to the iBoxx € Liquid Indices," Deutsche Börse - iBoxx Indices, pp. 1-40, Version 1.0, (October 2002).

"Guide to iBoxx £ Benchmark Indices," Deutsche Börse - iBoxx Indices, pp. 1-58, Version 1.51 (October 2002).

"Dow Jones Stoxx Sustainability Indexes Guide," STOXX, pp. 1-44, Version 1.0 (October 2001).

"Statistics Guide," Deutsche Börse, pp. 1-24, Version 1.1, (October 1999).

"German Stock Index - DAX," Deutsche Börse.

"iBoxx € Benchmark Indices," Deutsche Börse.

"German Bond Index - REX," Deutsche Börse.

"German Volatility Index - VDAX," Deutsche Börse.

Rentenmarkt-Index: Maßstab für Trends und Erfolge Die Bank, Zeitschrift für Bankpolitik und Bankpraxis, Nr. 2, Februar 1984, (with translation).

Das Ende des Taschenrechners für den Rentenmarktindex FAZ Finanzmärkte, Nr. 149, Seite 24, 01. Juli 1991, (with translation).

REX: Neue Maßzahl für den Rentenmarkt FAX Finanzmärkte, Nr. 133, Seite 25, 12. Juni 1991, (with translation).

#### Group B

Securities and Exchange Commission File No. S7-16-97  
Available at  
<http://www.sec.gov/rules/concept/s71697/frankel.htm>

"Trades modernized", The Financial Post (Toronto-Daily Edition), Section 1, News; World Business Briefs, (February 24, 1989), pp. 9.

"21<sup>st</sup>-century stockbroking; Switzerland's securities traders face an electronic future", SHZ Publications (Switzerland), No. 2, (March 1990), pp. 46.

"Bankers prepare for a change; Lausanne's financial sector faces a more competitive future", SHZ Publications (Switzerland), No. 6, (November 1990), pp. 37.

"Wiring the buy side; Electronic Joint Venture Partners L.P. UniVu turnkey systems for bond analytics services", Wall Street Computer Review, Vol. 8; No. 12 (September 1991), pp. 32.

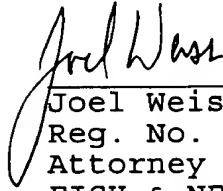
"European Bourse Reform; Tax cuts to catch investor interest - Sweden aims to draw in more foreigners", Financial Times (London), Section I, (October 17, 1991), pp. 35.

Copies of the documents are enclosed herewith. The documents in Group A were cited in a foreign patent proceeding relating to a foreign counterpart of the U.S. Patent from which the above-captioned patent application claims priority. Translations of the foreign language documents are also enclosed. The documents in group B were uncovered in searches recently conducted by applicant. It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application. Applicant requests that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

Applicant encloses a check for \$180.00 in payment of the fee as required by 37 C.F.R. § 1.97(c)(2), and pursuant to 37 C.F.R. § 1.17(p). The Director is hereby authorized to charge any additional fee, or credit any overpayment, that may be due in connection with this Information Disclosure Statement, to Deposit Account No. 06-1075. A duplicate copy of this Information Disclosure Statement is enclosed herewith.

An early and favorable action is respectfully requested.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Joel Weiss", is written over a horizontal line.

Joel Weiss  
Reg. No. 44,398  
Attorney for Applicant  
FISH & NEAVE  
Customer No. 1473  
1251 Avenue of the Americas  
New York, New York 10020-1105  
Tel.: (212) 596-9000

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF-21CONSERIAL NO.  
09/225,537INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTAPPLICANT  
Philip M. GinsbergCONFIRMATION NO.  
2363FILING DATE  
January 4, 1999GROUP  
2164

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	"Dow Jones Stoxx Index Guide," STOXX, pp. 1-43, Version 7.1 (March 2002).
	"Guide to the Volatility Indices of Deutsche Börse," Deutsche Börse, pp. 1-18, Version 1.4 (May 2002).
	"Guide to Dow Jones Global Titans 50 Index," pp.1-11, (June 2002).
	"Guide to the Dow Jones Asian Titans 50 Index," pp.1-10, (June 2002).
	"Guide to Dow Jones Sector Titans 30 Index," pp.1-8, (June 2002).
	"Guide to the Bond Indices of Deutsche Börse," Deutsche Börse, pp. 1-25, Version 3.4, (July 2002).
	"Guidelines to Deutsche Börse's Equity Indices," Deutsche Börse - iBoxx Indices, pp. 1-39, Version 4.6, (September 2002).
	"Guidelines to the BayX30* Bavarian Equity Index," Deutsche Börse, pp. 1-25, Version 2.0, (September 2002).
	"Guide to the iBoxx € Benchmark Indices," Deutsche Börse - iBoxx Indices, pp. 1-35, Version 2.01, (October 2002).
	"Guide to the iBoxx € Liquid Indices," Deutsche Börse - iBoxx Indices, pp. 1-40, Version 1.0, (October 2002).
	"Guide to iBoxx £ Benchmark Indices," Deutsche Börse - iBoxx Indices, pp. 1-58, Version 1.51 (October 2002).
	"Dow Jones Stoxx Sustainability Indexes Guide," STOXX, pp. 1-44, Version 1.0 (October 2001).
	"Statistics Guide," Deutsche Börse, pp. 1-24, Version 1.1, (October 1999).
	"German Stock Index - DAX," Deutsche Börse.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

EV242439031US

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF-21CONSERIAL NO.  
09/225,537INFORMATION DISCLOSURE  
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2164

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER  
INITIAL

"iBoxx € Benchmark Indices," Deutsche Börse.

"German Bond Index - REX," Deutsche Börse.

"German Volatility Index - VDAX," Deutsche Börse.

Rentenmarkt-Index: Maßstab für Trends und Erfolge Die Bank, Zeitschrift für Bankpolitik und Bankpraxis, Nr. 2, Februar 1984, (with translation).

Das Ende des Taschenrechners für den Rentenmarktindex FAZ Finanzmärkte, Nr. 149, Seite 24, 01. Juli 1991, (with translation).

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"21<sup>st</sup>-century stockbroking; Switzerland's securities traders face an electronic future", SHZ Publications (Switzerland), No. 2, (March 1990), pp. 46.

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